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JC872 U.S. PTO

Assistant Commissioner for Patents  
Washington, DC 20231  
ATTN: BOX UTILITY APPLICATION

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Docket No.: 97-676.5

Date: August 29, 2000

Sheet 1 of 2

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Inventor Name(s):

GERALD N. COLEMAN; DENNIS L. ENDICOTT; AND EDWARD A. JAKUSH

Title:

FUEL EMULSION COMPOSITIONS HAVING REDUCED NOX EMISSIONS

JC897 U.S. PTO  
09/650073  
08/29/00

- ☒ Fee Transmittal Form Attached in Duplicate
- ☒ Specification and Claim(s) [Total Pages  ]
- ☐ Drawing(s) [Total Sheets  ]

Declaration

[Total Pages  ]

- ☐ Newly Executed (Original or Copy)
- ☒ Copy From Prior Application (37 CFR § 1.63(d))
- ☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)
- ☐ Assignment Papers (Cover Sheet and Document(s))
- ☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Copies of IDS Citations
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--Continue Next Page--

If a Continuing Application

☒ Continuation                      ☐ Divisional                      ☐ Continuation-In-Part (CIP)

of prior Application No.: 09/109,028 ;

Examiner : C. Toomer ; and

Group/Art Unit: 1721 .

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

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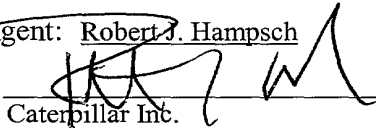
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<p>Attorney/Agent: <u>Robert J. Hampsch</u></p> <p>Signature:  _____</p> <p style="text-align: center; margin-left: 100px;">Caterpillar Inc.</p>	<p>Registration No.: <u>36,155</u></p> <p>Date: <u>8/27/04</u></p>
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# FEE TRANSMITTAL

## for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 690

### Complete if Known

Application Number (Unassigned)  
Filing Date (Herewith)  
First Named Inventor GERALD N. COLEMAN ET AL.  
Examiner Name (Unassigned)  
Group / Art Unit (Unassigned)  
Attorney Docket No. 97-676.5

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### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	690	345			Utility filing fee	690
106	206	310	155			Design filing fee	
107	207	480	240			Plant filing fee	
108	208	690	345			Reissue filing fee	
114	214	150	75			Provisional filing fee	

SUBTOTAL (1) (\$) 690

#### 2. EXTRA CLAIM FEES

Extra Claims	Fee from below	Fee Paid
Total Claims 45 - 20** = 25 X 18 = 450		
Independent Claims 2 - 3** = 0 X 78 = 0		
Multiple Dependent 2		

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	203	18	9			Claims in excess of 20
102	202	78	39			Independent claims in excess of 3
104	204	260	130			Multiple dependent claim, if not paid
109	209	78	39			** Reissue independent claims over original patent
110	210	18	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	130	65			Surcharge - late filing fee or oath	
127	227	50	25			Surcharge - late provisional filing fee or cover sheet.	
139	239	130	130			Non-English specification	
147	247	2,520	2,520			For filing a request for reexamination	
112	212	920*	920*			Requesting publication of SIR prior to Examiner action	
113	213	1,840*	1,840*			Requesting publication of SIR after Examiner action	
115	215	110	55			Extension for reply within first month	
116	216	380	190			Extension for reply within second month	
117	217	870	435			Extension for reply within third month	
118	218	1,360	680			Extension for reply within fourth month	
128	228	1,850	925			Extension for reply within fifth month	
119	219	300	150			Notice of Appeal	
120	220	300	150			Filing a brief in support of an appeal	
121	221	260	130			Request for oral hearing	
138	238	1,510	1,510			Petition to institute a public use proceeding	
140	240	110	55			Petition to revive - unavoidable	
141	241	1,210	605			Petition to revive - unintentional	
142	242	1,210	605			Utility issue fee (or reissue)	
143	243	430	215			Design issue fee	
144	244	580	290			Plant issue fee	
122	222	130	130			Petitions to the Commissioner	
123	223	50	50			Petitions related to provisional applications	
126	226	240	240			Submission of Information Disclosure Stmt	
581	581	40	40			Recording each patent assignment per property (times number of properties)	
146	246	690	345			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	690	345			For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

### SUBMITTED BY

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Date 08/29/2000

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## Description

### FUEL EMULSION COMPOSITIONS HAVING REDUCED NOx EMISSIONS

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#### Background of the Invention

The present invention relates to fuel compositions having reduced nitrogen oxide (NOx) emission, more particularly, to high stability, low  
10 emission, fuel emulsion compositions for use in internal combustion engines.

Environmental considerations and government regulations have increased the need to reduce NOx production. Nitrogen oxides comprise a major irritant  
15 in smog and are believed to contribute to tropospheric ozone which is a known threat to health. Relatively high flame temperatures reached in internal combustion engines, for example diesel-fueled engines, increase the tendency for the production of nitrogen oxides (NOx)  
20 ). These are formed from both the combination of nitrogen and oxygen in the combustion chamber and from the oxidation of organic nitrogen species in the fuel.

Various methods for reducing NOx production include the use of catalytic converters, engine timing changes, exhaust recirculation, and the burning of  
25 "clean" fuels. These methods are generally too expensive and/or too complicated to be placed in widespread use. The rates at which NOx are formed is related to the flame temperature; a small reduction in  
30 flame temperature can result in a large reduction in the production of nitrogen oxides.

It has been shown that introducing water into the combustion zone can lower the flame temperature and thus lower NO<sub>x</sub> production, however; the direct  
35 injection of water requires costly and complicated changes in engine design. Further attempts to use water to reduce flame temperature include the use of

aqueous fuels, i.e., incorporating both water and fuel into an emulsion. Problems that may occur from long-term use of aqueous fuels include engine corrosion, engine wear, or precipitate deposition which may lead to engine problems and ultimately to inoperability. Problematic precipitate depositions include coalescing ionic species resulting in filter plugging and inorganic post combustion deposits resulting in turbo fouling. Another problem related to aqueous fuel compositions is that they often require substantial engine modifications, such as the addition of in-line homogenizers, thereby limiting their commercial utility.

Another method for introducing water into the combustion area is to use fuel emulsions in which water is emulsified into a fuel continuous phase, i.e., invert fuel emulsions. A problem with these invert fuel emulsions is obtaining and maintaining the stability of the emulsion under conventional use conditions. Gravitational phase separation (during storage) and high temperature high pressure/shear flow rate phase separation (in a working engine) of these emulsions present the major hurdle preventing their commercial use.

The present invention addresses the problems associated with the use of invert fuel emulsion compositions by providing a stabile, inexpensive invert fuel emulsion composition with the beneficial reduction in  $\text{NO}_x$  and particulate emissions.

30

#### Summary of the Invention

The present invention features fuel compositions comprised of a hydrocarbon petroleum distillate fuel, purified water, and a surfactant package. The fuel composition preferably is in the form

35

of an emulsion in which the fuel is the continuous phase. The invert fuel emulsion compositions are stable at storage temperatures, as well as, at temperatures and pressures encountered during use, such as, during recirculation in a compression ignited engine. The invert fuel emulsion compositions have reduced NOx and particulate emissions and are substantially ashless.

The amount of the hydrocarbon petroleum distillate fuel preferably is between about 50 weight percent and about 95 weight percent of the invert fuel emulsion composition, more preferably between about 68 weight percent and about 80 weight percent of the invert fuel emulsion composition.

The amount of purified water preferably is between about 5 weight percent and about 50 weight percent of the fuel composition, more preferably between about 20 weight percent and about 30 weight percent of the fuel composition. The purified water preferably contains no greater than about 50 parts per million calcium and magnesium ions, and no greater than about 20 parts per million silicon. More preferably, the purified water has a total hardness of less than 10 parts per million and contains no greater than about 2 parts per million calcium and magnesium ions, and no greater than about 1 part per million silicon.

The invert fuel emulsion composition includes a surfactant package preferably comprising a primary surfactant, a block-co-polymer, and one or more surfactant enhancers.

Other additives such as antifreezes, ignition delay modifiers, cetane improvers, lubricants, corrosion inhibitors, stabilizers, rheology modifiers, and the like, and may also be included. Individual

ingredients may perform one or more of the  
aforementioned functions.

Description of Preferred Embodiments

5           Invert fuel emulsion compositions of the  
present invention include hydrocarbon petroleum  
distillate fuel and water in the form of an emulsion in  
which the fuel is the continuous phase. The preferred  
emulsion is a stable system with as little surfactant  
10 as possible. A stable emulsion is desirable because a  
separate water phase will lead to combustion problems.  
Stability means no substantial phase separation in long  
term storage under typical storage conditions, for  
example, up to about three months. High temperature,  
15 high pressure stability is also required to maintain  
the emulsion under operating conditions.

          The fuel composition is preferably ashless.  
For the purposes of this disclosure "ashless" means  
that, once the fuel components are combined, the level  
20 of particulates and coalescing ionic species is  
sufficiently low to allow long-term operation of the  
internal combustion engine (for example, substantially  
continuous operation for three months) without  
significant particulate and coalescing ionic species  
25 deposition on engine parts, including valve seats and  
stems, injectors and plug filters, and post-combustion  
engine parts such as the exhaust trains and turbo  
recovery units. The level of ash is determined by  
monitoring water purity, exhaust emissions, and by  
30 engine autopsy. Engine autopsy, including  
dismantlement and metallurgical analysis, is also used  
to analyze corrosion and wear.

          Preferred compositions include about 50% to  
about 95% by weight hydrocarbon petroleum distillate  
35 fuel, more preferably about 68% to about 80%

hydrocarbon petroleum distillate fuel. Examples of  
suitable hydrocarbon petroleum distillate fuels include  
kerosene, diesel, naphtha, and aliphatics and  
paraffinics, used alone or in combination with each  
5 other. Preferred diesels include but are not limited  
to, for example, EPA Emissions Certification diesel  
and standard number 2 diesel. The amount and type of  
hydrocarbon petroleum distillate fuel is selected so  
that the kilowattage per gallon provided by combusting  
10 the fuel composition is sufficiently high so that the  
engine need not be derated. Other suitable hydrocarbon  
petroleum distillate fuels also include high  
paraffinic, low aromatic hydrocarbon petroleum  
distillates having an aromatic content of less than  
15 about 10%, preferably less than about 3%.

The water phase contributes to the reduction  
of NOx and particulate emissions. The greater the  
amount of water, the greater the decrease in NOx  
emissions. The current upper limit of water is about  
20 50%, above which the burning characteristics of the  
fuel make it's use impractical under normal conditions,  
i.e., with an acceptable amount of additives and  
relatively inexpensive hydrocarbon petroleum  
distillate. The preferred amount of purified water is  
25 between about 5 weight percent and about 50 weight  
percent of the fuel composition, more preferably  
between about 20 weight percent and about 30 weight  
percent of the fuel composition.

The water is preferably purified such that it  
30 contains very low concentrations of ions and other  
impurities, particularly calcium ions, magnesium ions,  
and silicon. This is desirable because impure water  
contributes to ashing and engine deposit problems after  
long-term use, which can lead to wear, corrosion, and  
35 engine failure. The purified water preferably contains

no greater than about 50 parts per million calcium and magnesium ions, and no greater than about 20 parts per million silicon. More preferably, the purified water has a total hardness of less than 10 parts per million and contains no greater than about 2 parts per million calcium and magnesium ions, and no greater than about 1 part per million silicon. Suitable purification techniques are well-known and include distillation, ion exchange treatment, and reverse osmosis, with reverse osmosis being preferred.

In a preferred embodiment the pH of the purified water is adjusted to about 4 to about 7, preferably from about 5 to about 6. The acidity helps the water droplets form more easily and thus enhances emulsion formation as well as having an anti-corrosion effect. The water can be acidified with any compatible acid, preferably an organic acid, more preferably citric acid.

The composition includes a surfactant package which facilitates the formation of a stable emulsion of the purified water within the continuous hydrocarbon petroleum distillate fuel phase. A preferred surfactant package is comprised of a primary surfactant in combination with one or more surfactant stabilizers and enhancers. Components of preferred surfactant packages are ashless and do not chemically react with other components in the fuel composition. Preferred invert fuel emulsion compositions include about 0.3% to about 1.0% by weight, preferably about 0.4% to about 0.6% total surfactant package.

Examples of suitable primary surfactants include nonionic, anionic and amphoteric surfactants. Preferred primary surfactants include charged amide surfactants, more preferably unsubstituted, mono- or di-substituted amides of saturated or unsaturated  $C_{12}$ -

C<sub>22</sub> fatty acids. The amide is preferably substituted with one or two groups selected independently of each other from straight, branched, unsubstituted and substituted alkyls or alkanols having 1 to 4 carbon atoms and aryls. An example of a preferred amide primary surfactant is a 1:1 fatty acid diethanolamide, more preferably a diethanolamide of oleic acid (commercially available as Schercomid SO-A from Scher Chemical). The primary surfactant is present in the invert fuel emulsion composition in the range of about 3,000 ppm to about 10,000 ppm, more preferably about 5,000 ppm to about 6,000 ppm.

The surfactant package preferably includes one or more block-copolymers. The block copolymers of the surfactant package act as a stabilizer of the primary surfactant. Suitable block copolymers may have surfactant qualities, however; it is believed, this belief having no limitation on the scope or operation of this invention, that the unexpected, superior results of the present invention are a result of a 'synergistic' effect of the block copolymer in combination with the primary surfactant. The block copolymer acts as a stabilizer of the primary surfactant at the interface. Examples of suitable block-copolymers for the surfactant package include high molecular weight block copolymers, preferably EO/PO block copolymers such as octylphenoxypolyethoxyethanol (a block copolymer produced by BASF as Pluronic 17R2). Examples of preferred block copolymers include Pluronic 17R2, Pluronic 17R4, Pluronic 25R2, Pluronic L43, Pluronic L31, and Pluronic L61, all commercially available from BASF. The block copolymer is present in the invert fuel emulsion composition in the range of about 1,000

ppm to about 5,000 ppm, more preferably about 2,000 ppm to about 3,000 ppm.

The surfactant package preferably includes one or more high molecular weight polymeric dispersants. The polymeric dispersant acts as a surfactant enhancer/stabilizer, stabilizing the primary surfactant and contributing to the synergistic combination of the primary surfactant and block copolymer. A preferred polymeric dispersant is Hypermer E-464 commercially available from ICI. Other suitable polymeric dispersants include Hypermer A-60 from ICI, a decyne diol nonfoaming wetter such as Surfina-104 produced by Air Products, an amineoxide such as Barlox BX12 from Lonza, and Emulsan a bio-polymer surfactant from Emulsan. The polymeric dispersant is present in the invert fuel emulsion composition in the range of about 100 ppm to about 1,000 ppm, more preferably about 700 ppm to about 800 ppm.

The composition may also include one or more additives, for example, antifreezes, ignition delay modifiers, cetane improvers, stabilizers, lubricants, corrosion inhibitors, rheology modifiers, and the like. The amount of additive selected is preferably sufficiently high to perform its intended function and, preferably sufficiently low to control the fuel composition cost. The additives are preferably selected so that the fuel composition is ashless.

An antifreeze may also be included in the fuel composition. Organic alcohols are preferred. Specific examples include methanol, ethanol, isopropanol, and glycols, with methanol being preferred. The amount of antifreeze is preferably less than about 15%, more preferably ranging from about 2% to about 9% by weight.

The fuel composition may also include one or more ignition delay modifiers, preferably a cetane improver, to improve fuel detonation characteristics, particularly where the fuel composition is used in compression ignited engines. Examples include nitrates, nitrites, and peroxides. A preferred ignition delay modifier is 2-ethylhexylnitrate (2-EHN), available from Ethyl Corporation under the trade designation "HiTec 4103". Ammonium nitrate can also be used as a known cetane improver. Preferred compositions include about 0.1% to 0.4% by weight ignition delay modifier.

The fuel composition may include one or more lubricants to improve the lubricity of the fuel composition and for continued smooth operation of the fuel delivery system. Many conventional common oil-soluble and water soluble lubricity additives may be used and can be effective in amounts below about 200 ppm. The amount of lubricant generally ranges from about 0.04% to 0.1% by weight, more preferably from 0.04% to 0.05% by weight. An example of a suitable lubricants include a combination of mono-, di-, and tri-acids of the phosphoric or carboxylic types, adducted to an organic backbone. The organic backbone preferably contains about 12 to 22 carbons. Examples include Lubrizol 522A and mixed esters of alkoxyated surfactants in the phosphate form, and di- and tri-acids of the Diels-Alder adducts of unsaturated fatty acids. The carboxylic types are more preferred because of their ashless character. A specific example of a suitable lubricant is Diacid 1550™ (Atrachem Latol 1550 or Westvaco Chemicals Diacid 1550), which is preferred due to its high functionality at low concentrations. The Diacid 1550 also has nonionic surfactant properties. Neutralization of the

phosphoric and carboxylic acids, preferably with an alkanolamine, reduces possible corrosion problems caused as a result of the addition of the acid. Suitable alkanolamine neutralizers include amino methyl propanol, triethanolamine, and diethanolamine, with amino methyl propanol (available from Angus Chemical under the trade designation "AMP-95") being in about 0.05 to 0.4% by weight neutralizer, more preferably about 0.06%.

With fuel being the continuous phase and the use of highly purified water, there is a low potential for corrosion and erosion, however; the fuel composition may also include one or more corrosion inhibitors, preferably one that does not contribute a significant level of inorganic ash to the composition. One example is amino methyl propanol (available from Angus Chemical under the trade designation "AMP-95". The addition of citric acid will also inhibit corrosion via a small change in the pH of the water; citric acid also enhances the formation of the emulsion. Aminoalkanoic acids are preferred. An example of another suitable corrosion inhibitor is available from the Keil Chemical Division of Ferro Corporation under the trade designation "Synkad 828". Preferred compositions include about 0.01% to about 0.05% by weight corrosion inhibitor.

Biocides known to those skilled in the art may also be added, provided they are ashless. Antifoam agents known to those skilled in the art may be added as well, provided they are ashless. The amount of antifoam agent preferably is not more than .0005% by weight.

The invert fuel emulsion composition may also include one or more coupling agents (hydrotropes) to maintain phase stability at high temperatures and shear

pressures. High temperature and shear pressure stability is required, for example, in compression ignited (diesel) engines because all the fuel delivered to the injectors may not be burned to obtain the required power load in a given cycle. Thus, some fuel may be recirculated back to the fuel tank. The relatively high temperature of the recirculated fuel, coupled with the shear pressures encountered during recirculation, tends to cause phase separation in the absence of the coupling agent. Examples of preferred coupling agents include di- and tri-acids of the Diels-Alder adducts of unsaturated fatty acids. A specific example of a suitable coupling agent is Diacid 1550, neutralized with an alkanolamine to form a water soluble salt. Suitable alkanolamine neutralizers include amino methyl propanol triethanolamine, and diethanolamine, with amino methyl propanol preferred. The amount of the coupling agent typically ranges from about 0.04% to 0.1 % by weight, more preferably 0.04 to 0.05%.

The invert fuel emulsion composition can include additives which perform multiple functions. For example, Diacid 1550 acts as a surfactant, lubricant, and coupling agent and citric acid has both emulsion enhancement and corrosion inhibitory properties. Similarly, AMP-95 acts as a neutralizer and helps maintain the pH of the fuel composition and ammonium nitrate, if used, acts as a cetane improver and an emulsion stabilizer.

#### Emulsion Process

The invert fuel emulsion compositions are preferably micro emulsions having an average droplet diameter of about 1 micron or less, more preferably about 0.1 micron to 1 micron. The large aggregate

surface area of the droplets of such an emulsion, however, can require a correspondingly large amount of surfactant. This requirement has been lowered by the surfactant package of the present invention. The combination of components in the surfactant package results in a synergistic increase in surfactant efficiency greatly reducing the amount of surfactant needed to produce and maintain a stabile emulsion.

The fuel compositions may be manufactured using any batch or preferably a continuous process capable of providing the high shear rates necessary to form the desired droplet size of a stable invert emulsion. Shear rates of about 120,000 shearing events per second are desirable.

In the batch process, the oil phase ingredients (e.g., the hydrocarbon petroleum distillate and any other oil-soluble ingredients) are charged to a stirred tank reactor along with the surfactant. The aqueous phase ingredients (e.g., water and any other water-soluble additives) are combined separately and then pumped into the reactor, where they are combined with agitation with the oil phase ingredients to form an emulsion. The resulting emulsion is aged and then transferred from the reactor into a storage tank using a shear pump. The resulting product is a stable, homogeneous, milky emulsion.

In an example of a preferred continuous process, the surfactant package and any other additives are combined in the form of a stream, and then fed to a first in-line blending station where they are combined with a hydrocarbon petroleum distillate fuel stream. The resulting product is then combined with purified water in a second in-line blending station to form a fuel composition. The fuel composition is aged and then pumped through a shear pump to a storage tank. The

product is in the form of a stable, homogeneous, milky emulsion having an average droplet diameter of less than 5 microns, preferably less than about 1 micron, more preferably ranging from about 0.1 microns to about 1 micron. Examples of shear pumps capable of the necessary high shear rates are the Ross X Series mixer and the Kady mill.

If an antifreeze is included in the formulation an alternate process may be used in which a separate stream of the antifreeze is blended with the stream of the surfactant package and remaining additives in an auxiliary in-line blending station. This combined stream is then blended with the fuel stream in the first in-line blending station and the remainder of the process is continued as above.

#### Engine Design

The aqueous fuel compositions according to the invention can be used in internal combustion engines without substantially modifying the engine design. For example, the fuel compositions can be used without re-designing the engine to include in-line homogenizers. To enhance fuel efficacy, however, several readily implemented changes are preferably incorporated in the engine structure.

The capacity of the engine fuel system may be increased to use the fuel compositions in diesel engines. The increased capacity is a function of the percentage of water in the fuel. The engine fuel system capacity is typically scaled by the following ratio:

$$\frac{\text{Lower Heating Value of Diesel Fuel (btu/gal)}}{\text{Lower Heating Value of Fuel Composition (btu/gal)}}$$

In many cases, the engine fuel system capacity can be increased sufficiently by increasing the injector orifice size. Other engines may require an increase in the capacity of the injection pump. In addition, an increase in the capacity of the fuel transfer pump may be required.

Some modifications to the engine may be required to compensate for fuel compositions with cetane quality lower than diesel fuel. This may include advancing the fuel injection timing to improve operation at light load, during starting, and under warm up conditions. In addition, a jacket water aftercooler may be required to warm the intake air under light load conditions. The use of a block heater or an inlet air heater may be required to improve cold starting capability.

The following examples will further describe the invention. These examples are intended only to be illustrative. Other variations and modifications may be made in form and detail described herein without departing from or limiting the scope of the invention which is set out in the attached claims.

#### EXAMPLE 1

A number of fuel emulsion compositions were made using a batch process. All formulations were made in approximately 2 liter batches containing 540 grams of water purified via reverse osmosis, and a fuel containing 1254 grams of EPA Emissions Certification diesel fuel and 6 grams of 2-EHN.

The surfactant package components were added and a coarse emulsion was formed with a hand blender. The resulting fuel composition was then aged and pumped using a Ross X Series shear pump to a storage tank. The products were in the form of a stable, homogeneous,

milky emulsion having an average droplet diameter of less than 5 microns, about 1 micron or less.

5 The fuel emulsion compositions were evaluated for stability and measured for phase separation after aging for 7 days. Samples of each composition were placed in vials, aged, and then the percent of any clear demarcation of water at the bottom or fuel at the top of the vial was measured as a function of the total volume. The relative stability of various prepared  
10 formulations is presented in Table 1.

TABLE 1

	Concentration in ppm in Oil Phase				
Formulation	Amide Surfactant	Block Co-Polymer	Additional Surfactant Stabilizers		Rating
I	6000 of SOA	3000 of 17R2	800 of E464		1
II	4000 of SOA	3000 of 17R2	600 of E464	500 of DM430	10
III	7000 of SOA	4000 of 17R2	800 of E464		8
IV	6000 of DS/280	3000 of 17R2	800 of E464		10
V	6000 of SOA	3000 of 25R2	800 of E464		9
VI	7000 of SOA	4000 of 25R2	400 of E464		10
VII	5000 of SOA	2500 of 17R2	800 of E464		3
VIII	5000 of SOA	3000 of 17R4	800 of E464		4
IX	5000 of SOA	3000 of 31R1	800 of E464		5
X	5000 of SOA	2500 of 17R2	800 of A-60		6
XI	5000 of SOA	2500 of 17R2	800 of E464	500 of S104	1
XII	3000 of SOA	3000 of 27R2	3000 of T12	800 of E464	7
XIII	3000 of SOA	2500 of 31R1	400 of S104	800 of A-60	7
XIV	6000 of SOA	3000 of L43	800 of E464		4
XV	6000 of SOA	3000 of L31	800 of E464		5
XVI	6000 of SOA	3000 of L61	800 of E464		10
XVII	6000 of SOA	3000 of 17R2	800 of E464	300 of Emulsan	2
XVIII	6000 of SOA	3000 of 17R2	800 of E464	500 of BX12	2
XIX	6000 of SOA	2000 of 17R2	600 of A-60	600 of S104	2
XX	4500 of SOA	3000 of 17R2	800 of E464		10

Rating on a scale of 1 to 10, 1 being more stabile.

Surfactants used in the above formulations:

Notation	Manufacturer	Brand	Description
17R2	BASF	Pluronic 17R2	Block co-polymer
17R4	BASF	Pluronic 17R4	Block co-polymer
25R2	BASF	Pluronic 25R2	Block co-polymer
L43	BASF	Pluronic L43	Block co-polymer
L31	BASF	Pluronic L31	Block co-polymer
L61	BASF	PlBuronic L61	Block co-polymer
SOA	Scher Chemical	Schercomid SO-A fatty oliamide DEA	1:1 fatty acid Diethanolamide of oleic acid
E464	ICI	Hypermer E464	Polymeric dispersant
A-60	ICI	Hypermer A-60	Polymeric dispersant
S-104	Air Products	Surfinal 104	Decyne diol unique nonfoaming wetter
BX12	Lonza	Barlox	Amine oxide
Emulsan	Emulsan		Bio-polymer surfactant.
T12	Okzo	Ethamine T12	Amine othoxilate
DM 430		IGEPAL	Dinonylphenol Ethoxylate
DS/280.			

5     EXAMPLE 2

Five invert fuel emulsion compositions - I, VIII, XVIII, XIX, and formulation XXI, a composition having a surfactant package containing 6000 ppm of SOA, 1500 ppm of L43, 2000 ppm of 17R2, and 800 ppm of E464, - were prepared as in Example 1 with the addition of 200 ppm citric acid included in the purified water. A Ross X series mixer emulsifier was used in the process (ME 430-X-6).

15             The mean droplet size are noted on Table 2.

TABLE 2

Sample	Shear Pump Frequency	Shear Pump Flow Rate	Passes Through Pump	Droplet Size Microns - Sauter Mean (D[3,2])
XIX	75 Hz	¼ flow	1	0.72
XXI		17 gpm	1	0.73
XXI		17 gpm	2	0.72
XXI	75 Hz	¼ flow	1	0.75
XVIII		17 gpm	1	0.88
XIX		17 gpm	1	0.66
I	75 Hz	Full flow	1	0.68
I	75 Hz	¼ flow	1	0.94
XVIII		17 gpm	2	0.81
XIX		17 gpm	2	0.67
VIII		17 gpm	2	1.10
XVIII	75 Hz	¼ flow	1	0.69
VIII		17 gpm	1	0.75
I		17 gpm	1	0.81
I		17 gpm	2	0.75
VIII	75 Hz	¼ flow	1	0.61

5 EXAMPLE 3

Fuel compositions prepared according to Examples 1 and 2 in which the fuel was a California Air Resource Board diesel fuel were run in a diesel engine to monitor NOx and particulate emissions. The engine used was a Caterpillar 12 liter compression-ignited truck engine (four stroke, fully electronic, direct injected engine with electronic unit injectors, a turbocharger, and a four valve quiescent head) The Caterpillar C-12 truck engine was rated at 410 hp at 1800 rpm with a peak torque of 2200 N-m at 1200. A simulated air-to-air aftercooler (43°C inlet manifold temperature) was used.

The electronic unit injectors were changed to increase the quantity of fuel injected into the cylinder. As modified, the electronic unit injector Caterpillar Part Number 116-8800 replaced the standard

injector Caterpillar Part Number 116'-8888. In addition, the electronic control strategy was optimized with respect to emissions, fuel consumption, and cold starting.

5 Tests were performed on standard diesel fuels and on fuel emulsions of Example 1 and fuel emulsions prepared as in Example 1. The tests were performed at 1800 rpm and 228 kW, 122 rpm and 197 kW, and 1800 rpm and 152 kW. Particulate emissions and NOx+HC emissions  
10 for standard diesel fuels and for fuel emulsions are shown in the following table:

Engine		Standard diesel fuel	Fuel emulsions
1800 rpm 228 kW	Particulate emissions (g/hp-hr)	about 0.040 to about 0.055	about 0.070
	NOx + HC emissions (g/hp-hr)	about 2.5 to about 4.5	about 1.6
1200 rpm 197 kW	Particulate emissions (g/hp-hr)	about 0.03 to about 0.033	about 0.070
	NOx + HC emissions (g/hp-hr)	about 3.5 to about 6.5	about 1.8
1800 rpm 152 kW	Particulate emissions (g/hp-hr)	about 0.068 to about 0.084	about 0.058
	NOx + HC emissions (g/hp-hr)	about 2.3 to about 4.5	about 1.6

#### EXAMPLE 4

15 The Ball on Three Disks (BOTD) lubricity test was utilized to assess the lubricity of the fuel compositions. This test was developed by Falex Corporation to assess the lubricity of various diesel fuels and their additives. The average wear scar  
20 diameter is used to assess fuel composition lubricity; a smaller scar diameter implies a higher fuel composition lubricity. Typical diesel fuel will have a scar diameter of 0.45mm to 0.55mm. Fuel emulsions of Formulation I and Formulation I with oil soluble

lubricity additive ranged from about 0.703 to about 0.850.

EXAMPLE 5

5 A formulation is 540 grams of water purified via reverse osmosis, and a fuel containing 1254 grams of EPA Emissions Certification diesel fuel and 6 grams of 2-EHN.

10 The surfactant package components are combined in the form of a stream, and then fed to a first in-line blending station where they are combined with a fuel stream. The resulting product is then combined with the purified water in a second in-line blending station to form the fuel composition. The  
15 fuel composition is then aged and pumped using a Ross X Series shear pump to a storage tank. The product is in the form of a stable, homogeneous, milky emulsion having an average droplet diameter of less than about 5 microns, preferably about 1 micron or less.

20

EXAMPLE 6

Cetane measurements were taken of standard diesel and emulsion formulations containing various amounts of 2-EHN. The results are shown in  
25 Table 3 below.

	% 2-EHN	CFR Cetane #	Cvca Cetane #
Diesel	0	41	39
Diesel	0.5	48	62
Formulation	0	27	29
Formulation	0.18	25	29
Formulation	0.36	28	33

Variable	Mean	SD	Min	Max
Age	34.5	10.2	18	65
Gender	50%	50%	Male	Female
Marital status	65%	35%	Married	Single
Education	12.5	2.1	9	16
Income	15.2	3.5	10	25
Occupation	1.2	0.8	1	5
Health status	75%	25%	Good	Poor
Smoking status	30%	70%	Smoker	Non-smoker
Alcohol consumption	15%	85%	Drinker	Non-drinker
Exercise frequency	2.5	1.5	0	5
Stress level	4.5	1.2	1	7
Sleep quality	3.8	1.0	1	5
Dietary habits	2.2	0.8	1	4
Family size	3.5	1.5	1	7
Religious beliefs	1.5	0.5	1	3
Work-life balance	3.2	0.9	1	5
Community involvement	2.8	1.1	1	5
Life satisfaction	4.2	1.3	1	7
Overall well-being	3.5	1.0	1	5

What Is Claimed Is:

1. A high stability, low emission, invert  
fuel emulsion composition for an internal combustion  
5 engine comprising  
purified water;  
hydrocarbon petroleum distillate fuel as the  
continuous phase of the emulsion;  
and  
10 a surfactant package comprising primary  
surfactant, block copolymer, and polymeric dispersant.

2. The invert fuel emulsion composition of  
claim 1 comprising 5-50 wt % purified water and 50-95  
15 wt. % hydrocarbon petroleum distillate fuel.

3. The invert fuel emulsion composition of  
claim 1 comprising at least 4000 ppm primary  
surfactant.  
20

4. The invert fuel emulsion composition of  
claim 3 wherein said primary surfactant is an amide.

5. The invert fuel emulsion composition of  
25 claim 4 wherein said primary surfactant is selected  
from the group consisting of unsubstituted, mono- and  
di-substituted amides of saturated  $C_{12}$ - $C_{22}$  fatty acids  
and unsubstituted, mono- and di-substituted amides of  
unsaturated  $C_{12}$ - $C_{22}$  fatty acids,

30 wherein said mono and di substituted amides  
are substituted by substituents  
selected, independently of each other, from  
the group consisting of straight and branched,  
unsubstituted and substituted alkyls having 1 to 4  
35 carbon atoms, straight and branched, unsubstituted and

substituted alkanols having 1 to 4 carbon atoms, and aryls.

5       6.    The invert fuel emulsion composition of claim 5 wherein said primary surfactant is a 1:1 fatty acid diethanolamide of oleic acid.

10       7.    The invert fuel emulsion composition of claim 1 comprising from about 1,000 ppm to about 5,000 ppm block copolymer.

15       8.    The invert fuel emulsion composition of claim 7 wherein said block copolymer is an EO/PO block copolymer.

20       9.    The invert fuel emulsion composition of claim 8 wherein said block copolymer is selected from the group consisting of PLURONIC 17R2, PLURONIC 17R4, PLURONIC 25R2, PLURONIC L43, PLURONIC L31, AND PLURONIC L61.

25       10.   The invert fuel emulsion composition of claim 9 wherein said block copolymer is octylphenoxypolyethoxyethanol (PLURONIC 17R2).

30       11.   The invert fuel emulsion composition of claim 1 comprising about 100 ppm to about 1,000 ppm polymeric dispersant.

      12.   The invert fuel emulsion composition of claim 11 wherein said polymeric dispersant is ICI HYPERMER E-464.

      13.   The invert fuel emulsion composition of claim 1 comprising

10-50% purified water;  
50-90% hydrocarbon petroleum distillate fuel;  
at least 4000 ppm amide primary emulsifier;  
between about 2000 and about 3000 ppm EO/PO  
5 block polymer; and  
between about 600 and about 800 ppm polymeric  
dispersant.

14. The invert fuel emulsion composition of  
10 claim 13 wherein said amide primary surfactant is  
Schercomid SO-A (Scher Chemical).

15. The invert fuel emulsion composition of  
claim 13 wherein said block copolymer is Pluronic 17R2  
15 (BASF).

16. The invert fuel emulsion composition of  
claim 13 wherein said polymeric dispersant is Hypermer  
E-464 (ICI).  
20

17. The invert fuel emulsion composition of  
claim 1 said emulsion having an average droplet size of  
less than about 5 microns.

18. The invert fuel emulsion composition of  
25 claim 17 said emulsion having an average droplet size  
of about 1 micron or less.

19. The invert fuel emulsion composition of  
30 claim 18 said emulsion having an average droplet size  
ranging from about 0.1 microns to about 1 micron.

20. An additive package for use in a fuel  
emulsion comprising primary surfactant, block  
35 copolymer, and surfactant stabilizer.

21. The additive package of Claim 20 comprising about 3,000 to about 10,000 parts per million of said fuel emulsion of primary surfactant.

5           22. The additive package of Claim 21 comprising about 5,000 to about 6,000 parts per million of said fuel emulsion of primary surfactant.

10           23. The additive package of claim 20 wherein said primary surfactant is an amide.

15           24. The additive package of claim 22 wherein said primary surfactant is selected from the group consisting of unsubstituted, mono- and di-substituted amides of saturated  $C_{12}$ - $C_{22}$  fatty acids, unsubstituted, mono- and di-substituted amides of unsaturated  $C_{12}$ - $C_{22}$  fatty acids, and mixtures thereof,

20               wherein said mono and di substituted amides are substituted by substituents selected, independently of each other, from the group consisting of straight and branched, unsubstituted and substituted alkyls having 1 to 4 carbon atoms, straight and branched, unsubstituted and substituted alkanols having 1 to 4 carbon atoms, and  
25           aryl.

25           25. The additive package of claim 22 wherein said primary surfactant is a 1:1 fatty acid diethanolamide of oleic acid.

30           26. The additive package of Claim 20 comprising about 1,000 to about 5,000 parts per million of said fuel emulsion of block copolymer.

5           28. The additive package of claim 20 wherein  
said block copolymer is an EO/PO block copolymer.

30. The additive package of claim 29  
15 wherein said block copolymer is Pluronic 17R2.

31. The additive package of claim 28 wherein said block copolymer is octylphenoxypolyethoxyethanol.

20 32. The additive package of claim 20 wherein  
said surfactant stabilizer is comprised of one or more  
components selected from the group consisting of  
polymeric dispersants, wetting agents, amine oxides,  
bio-polymer surfactants, amine othoxilates, and  
25 dinonylphenol ethoxylates.

33. The additive package of claim 32 wherein  
said surfactant stabilizer comprises about 100 to about  
1,000 parts per million of said fuel emulsion of  
polymeric dispersant.

34. The additive package of claim 33 wherein  
said surfactant stabilizer comprises about 600 to about  
800 parts per million of said fuel emulsion of  
polymeric dispersant.

35. The additive package of claim 33 wherein said surfactant stabilizer is Hypermer E464 (ICI) or Hypermer A-60 (ICI).

5

36. The additive package of claim 32 wherein said wetting agent is comprised of Surfina 104 (Air Products).

10

37. The additive package of claim 32 wherein said dinonylphenol ethoxylate is IGEPA 430.

38. The additive package of claim 32 wherein said amine othoxilate is Ethamine T12 (Okzo).

15

39. The additive package of claim 20 further comprising an antifreeze.

40. The additive package of claim 39 wherein said antifreeze is an organic alcohol.

20

41. The additive package of claim 40 wherein said antifreeze is methanol.

25

42. The additive package of claim 20 further comprising an ignition delay modifier.

43. The additive package of claim 42 wherein said ignition delay modifier comprises one or more compounds selected from the group consisting of nitrates, nitrites and peroxides.

30

44. The additive package of claim 43 wherein said ignition delay modifier comprises 2-ethylhexylnitrate.

35

45. The additive package of claim 43 wherein said ignition delay modifier comprises ammonium nitrate.

### Abstract Of The Disclosure

# FUEL EMULSION COMPOSITION HAVING REDUCED NO<sub>x</sub> EMISSIONS

Oil continuous fuel emulsion composition having high stability and reduced nitrogen oxide emissions. The fuel emulsion formulation includes diesel fuel, purified water, and an additive package that includes, among other additives, a combination of surfactants, including a primary surfactant, such as a fatty acid diethanolamide, a block copolymer, and a polymeric dispersant.

DECLARATION AND POWER OF ATTORNEY

I, EDWARD A. JAKUSH, declare that I am a citizen of the United States of America residing at Evanston, Illinois, and that I believe I am the original, first, and joint inventor along with Gerald N. Coleman and Dennis L. Endicott of the subject matter which is claimed and for which a patent is sought on the invention entitled:

FUEL EMULSION COMPOSITIONS HAVING REDUCED EMISSIONS

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to be material to patentability as defined in §1.56. I further declare that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns.

I hereby appoint Robert J. Hampsch, Patent Office Reg. No. 36,155, telephone (309) 675-5214, Joseph W. Keen, Patent Office Reg. No. 28,432, telephone (309) 675-5753, and Stephen L. Noe, Patent Office Reg. No. 30,482, telephone (309) 675-4014, my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected with this application. Please address all correspondence to Robert J. Hampsch, Caterpillar Inc., Patent Department, AB6490, 100 N.E. Adams Street, Peoria, Illinois 61629-6490.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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DECLARATION AND POWER OF ATTORNEY

We, GERALD N. COLEMAN and DENNIS L. ENDICOTT, declare that we are citizens of the United States of America residing respectively at Peoria, Illinois; and Mapleton, Illinois, and that we believe we are the original, first, and joint inventors, along with Edward A. Jakush and Alex Nikolov, of the subject matter which is claimed and for which a patent is sought on the invention entitled:

FUEL EMULSION COMPOSITIONS HAVING REDUCED NOX EMISSIONS

the specification of which was filed in the United States Patent and Trademark Office on the 1st day of July, 1998, as Application No. 09/109,028.

We hereby state that we have reviewed and understand the contents of the above identified specification, including the claims.

We acknowledge the duty to disclose to the Patent and Trademark Office all information known to be material to patentability as defined in §1.56. We further declare that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by us or our legal representatives or assigns.

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